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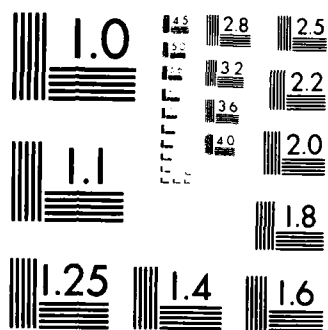
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NAVAL WAR COLLEGE RESEARCH GUIDE

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1984-85

Style Manual
and
Security Classification

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NAVAL WAR COLLEGE RESEARCH GUIDE

STYLE MANUAL

AND

SECURITY CLASSIFICATION

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August 1984

FOREWORD

The Naval War College Library consists of extensive collections of books, documents and other research materials and a highly qualified staff to assist students and faculty in the use of these collections for study and research. The library staff brings years of training and experience to the job of satisfying information needs. Whether your request is for verification of factual data, suggestions for beginning or furthering your research, or for assistance in locating materials identified as useful, be certain to consult a reference librarian for expert assistance. In this way you may save yourself much valuable research time.

The Research Guide provides the researcher with information on development of the paper/report resulting from the research effort. It describes format and documentation and gives examples to follow in the preparation of the research paper/report. Especially useful are the sections devoted to specific forms for footnote and bibliographic entries.

For those papers/reports which require security classification, guidance is given on determining classification and on obtaining authorization for classification. Sections pertinent to the classification process are extracted from the Department of the Navy Information Security Program Regulation.

Instructions and samples are provided for the submission and deposit of research papers in the Defense Technical Information Center.

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RESEARCH GUIDE

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CHAPTER I

FORMAT OF A RESEARCH PAPER

A Naval War College research paper should be of a scholarly nature, reflecting the results of the author's individual research; it should be well documented and written in a lucid, clearly phrased style. As a guide, refer to the articles published in the Naval War College Review, U.S. Naval Institute Proceedings, Military Review, Air University Review, or similar service publications.

Normally, a research paper is composed of three basic sections: the preliminaries, the text, and the reference materials. Although certain parts may be omitted, the sequence of the following outline must be observed.

1. Preliminaries, composed of
 - a. Title Page
 - b. Abstract
 - c. Preface
 - d. Table of Contents
 - e. List of Tables (when applicable)
 - f. List of Illustrations (when applicable)
2. Text, composed of
 - a. Introduction (Chapter I)
 - b. Main body of the paper
 - c. Conclusions and, if appropriate, Recommendations (final chapter)
3. Reference materials, composed of
 - a. Appendixes (when applicable)
 - b. Notes
 - c. Bibliography

Students are referred to Appendix I, pages 71-89, of this manual, "Illustrative Examples from Research Papers," for examples of each of these sections, and to Chapter IV on "Security" for instruction on the classification and marking of a classified research paper.

Preliminaries

Each element of this section begins on a separate page, and each page is designated in sequence by a lowercase Roman numeral.

Title Page. The title page is the first preliminary page of the paper. It is considered as "page i" but is not numbered. The title page is prepared in the same manner as the samples shown on pages 73 and 74, Appendix I.

Abstract. An abstract may be defined as a concise summary of the research paper. It rarely exceeds one double-spaced typewritten page in length.

The primary objective of the abstract is to present the reader with the essential contents of the research paper in a highly condensed form in order to provide him with enough information to determine whether or not he should read the paper in its entirety.

A complete abstract should present the following information: (1) the subject of the paper, (2) its purpose, (3) its scope, (4) a summary of the results, (5) the conclusions arrived at, and (6) the recommendations given. For a classified research paper, make whatever changes in the above needed to keep the abstract unclassified.

(1) The Subject. An abstract usually begins with a single statement which tells the reader what problem the paper addresses. Often a variation of the paper's title will fulfill this purpose.

(2) The Purpose. The purpose represents, in a concise manner, the reason or reasons for writing the paper. This statement must be kept as short as possible.

(3) The Scope. The scope of the paper is indicated by some statement concerning the limitations of the study; it is helpful in suggesting precisely what is and is not covered in the paper.

(4) The Summary. The chief findings of the study should be stated in the abstract.

(5) The Conclusions. The conclusions contain a brief statement of the interpretation and meanings of the study's chief findings.

(6) The Recommendations. If recommendations are made in the paper, they should be stated as such to conclude the abstract.

Each student will prepare an abstract of the research paper (see the example on page 75, Appendix I). It should be titled "Abstract of TITLE OF PAPER," and should consist of one non-indented paragraph.

Preface. The preface is an optional element of the research paper and is included only when the author wants to address the reader directly concerning matters which cannot properly be incorporated into the paper's Introduction. The author may wish to explain some personal reasons for embarking on the topic at hand, or may feel a need to describe methods of research (e.g., any questionnaires, interview techniques, sources of literature). In addition, the preface acknowledges, when applicable, all special research assistance from persons and institutions. Ordinarily, the advice a student receives from a research advisor is not acknowledged. A sample preface is presented on page 76, Appendix I.

Table of Contents. The table of contents lists every part of the paper and its corresponding pagination. It provides the reader with an analytical summary of the scope and the order of development of the author's argument. See the sample table of contents on page 77, Appendix I.

List of Tables. If three or more tables are incorporated in the text, they should be indicated in the list of tables as shown in the sample on page 78, Appendix I. For each table, the number of the table, its exact title, and the corresponding pagination are given. The tables are numbered consecutively with capital Roman numerals. The proper method for showing and arranging tables is shown on pages 92 and 93, Appendix II.

List of Illustrations. If three or more maps, charts, graphs, or illustrations are used in the paper, these will be indicated in the list of illustrations. Each entry will be listed as "Figure 1" or "Figure 2," using Arabic instead of Roman numerals. See the sample list of illustrations on page 79, Appendix I. The proper method for showing and arranging figures and illustrations is shown on pages 94, 95, 96, and 97, Appendix II.

Text

The text of the paper follows the preliminaries; each page is numbered in sequence with Arabic numerals.

Introduction. The research paper proper commences with the first page of Chapter I, Introduction. In this chapter the author presents a clear and complete but succinct statement of the research problem, that is, a description of purpose and task. In addition, this chapter should contain a justification of the problem, which establishes the importance of the subject matter. At this time, it would be appropriate to discuss the limitations and scope of the research. The student may wish to mention any basic assumptions used and to define any special terms unique to the study or used in a restricted manner.

Furthermore, the author should preview briefly the organization of the remainder of the paper. This will allow the reader to determine at a glance the relationship between the various parts of the research product.

Structure of Main Body. The main body is usually divided into chapters. Each chapter, in turn, may be further divided into sections and subsections. Longer papers may be better structured by grouping chapters into "Parts," with or without individual titles. The arrangement of textual divisions depends on the type of research paper concerned and the author's perception of how best to communicate the material. This organization must be accurately reflected in the table of contents.

Chapters are numbered in full capital letters with Roman numerals, e.g., CHAPTER II, centered at the top of the page. Three spaces below this chapter-number heading the chapter title is centered and typed in full capitals. Each title

should convey accurately what material is contained in the chapter and should reflect the fact that the chapter is a distinct and logical division of the paper. The text begins three more spaces below this chapter title. (See sample on page 81, Appendix I.) An exception to this rule is the heading of Chapter I. In this case, the title of the research paper is typed on the one-inch top margin in full capitals. The paper title is then followed by the chapter number, title, and text as described above. (See sample on page 80, Appendix I.) All subsequent chapters omit the paper-title heading.

Conclusions and Recommendations. This chapter, the final chapter of the text, should state the author's conclusions and any recommendations. An author may wish to qualify the findings by citing instances of incomplete or unverified data. These limiting remarks should precede the statement of the author's conclusions. Moreover, the author may use the final chapter to indicate additional problems uncovered as a result of the investigation, problems which require research beyond the scope of the study reported.

The student is cautioned to avoid the introduction of factual or analytical evidence not already presented in the main body of the paper.

Reference Materials

The reference materials for every research paper include notes and a bibliography and may embody an appendix or appendices, whenever applicable. Pages in this section of the paper are numbered continuously with the text, using Arabic numerals.

Appendixes. The appendix is employed to present relevant material that is not essential to the basic text. In it may be included information of an unusually technical and complex nature; discussion of methodology used in preparation of the paper, with sample questionnaires and a description of other data collection techniques presented; case studies too lengthy to be incorporated in the text; and official documents not generally available to the reader. The role of the appendix is to supplement the text, and the author must avoid the inclusion of data unrelated to the text.

Appendixes are numbered and titled in the same manner as chapters. They appear immediately after the text.

Notes. Notes used to identify the source of significant information presented in the text are listed after the appendixes. Notes are grouped and numbered by chapter, according to the instructions contained in Chapter III of this manual.

Bibliography. The bibliography should contain entries of all sources used in the preparation of the paper including, in addition to all cited references, every work relevant to the formulation and solution of the student's problem. It follows immediately after the notes. (See sample bibliography on pages 88-89, Appendix I.)

CHAPTER II

PREPARING A RESEARCH PAPER

The preparation of the research paper for presentation represents the final stage of the research process. Strict conformance with the standards of good English is expected.

General Instructions

Naval War College papers must be typed. The original must be submitted on 8 1/2" x 11" white bond. Each department will issue instructions on the procedure for submission and binding of papers as well as on the submission of copies.

Upon completion of the faculty evaluation, one copy of the paper, if unclassified, will be returned to the student with reviewers' remarks. Disposition of classified papers is provided for in Naval War College Instruction 5210.1 series. Should the student desire a copy of a classified paper, the library will forward it, upon request, to the student's new duty station.

Stylistic Format

Margins.

Top	6 lines
Left	1-1/4"
Right	1"
Bottom	6 lines

Exception: No half lines nor single lines at the conclusion of a paragraph should be carried over to the next page, even if it makes a page run a line long.

The first line of text on a page begins below a margin of six lines. The first line of a paragraph is indented five spaces from the left margin. Other spacing on the page of a paper should be in conformance with the sample on page 8. For further example, see the model in Appendix I.

14. inch →

The first line of text on a page.

← 14. inch

SAMPLE

The last line of text on a page.

page number
8

6 lines



Line Spacing. The typing should be double-spaced throughout the paper except that it should be single-spaced for footnotes, quotations over 50 words, the table of contents, and the bibliography. (Appendixes, when lengthy or otherwise appropriate, may be single-spaced.) Special line spacings are required as follows: three line spaces between the chapter heading and the first line of text; three line spaces precede and follow any centered caption, and precede any side head in a paragraph; three line spaces precede and follow all tables or figures inserted in the text. (For model, see Appendixes I and II.)

Page numbering. Pages are numbered in the center of each page, six spaces from the bottom edge of the paper, and on the second line below the last line of the text. The pages of all preliminary material (abstract, preface, table of contents, list of tables, list of illustrations) should be numbered with lowercase Roman numerals (ii, iii, iv, v). The title page is introductory page "i" but should not be numbered. The first page of Chapter I of the paper is numbered "1" in Arabic numerals, and subsequent pages through the bibliography and appendixes continue this sequence.

Indentation. An indentation, five spaces to the right of the left-hand margin, is established for the first line of a paragraph, for a section of quoted material running approximately 50 words or more (over four lines in length), and for the first line of a footnote. If quoted material is in the form of a paragraph, the first line should be indented 10 spaces. Also, if the writer is employing the system of introductory side headings in a paragraph--as followed in this manual--the main side head is indented five spaces and subheadings are indented 10 spaces.

Numbers. In general, a figure is used for a number of 10 or more with the exception of the first word of a sentence. Numbers under 10 are to be spelled out, except for units of measurement, time, or money which are always expressed in figures, e.g., 24 horses, \$7, five homes, 4 hours. Similar rules apply to ordinal numbers, e.g., the fourth group, but the 10th group. Whenever necessary for clarity, this rule can be dispensed with, i.e., when several numbers are compared as a group, they should all be written as numerals so that they are all alike and all stand out on the page.

Spell out numbers related to dignified subjects, e.g., the Eighty-eighth Congress.

Spell out indefinite expressions or round numbers, "the early seventies," "a thousand men," "one hundred-odd airplanes."

Spell out fractions standing alone, "one-half inch," "five one-thousandths."

Percentages. For percentages under 10, both the number and word "percent" are spelled out. Percentages of 10 or more, except at the beginning of a sentence, are written as figures, i.e., 12%.

Subnumbers and Subletters. Subnumbers and subletters are placed a half-line space below the line of writing: H₂O.

Superior Numbers and Superior Letters. Superior numbers and superior letters are placed a half-line space above the line of writing, for example, in the case of ²a reference to a footnote: as stated by Senator Fulbright.² In either case, use the line position reset on the typewriter which locks out standard line spacing and permits turning the platen (or roll) freely, forward or backward, and when restored, resume standard line spacing.

Alignment of Numerals. When numerals are aligned in tabular or outline form, the right-hand margin is aligned. This holds true whether the numerals are Arabic or Roman.

1	I
12	II
123	III

Underscoring. In a typewritten paper, underscoring is used to indicate material which would be in italics if the paper were in printed form. The purpose of underscoring or italicizing is to distinguish letters, words, or phrases from the rest of the sentence so that the thought can be quickly comprehended; to indicate foreign words appearing in English text unless the words have been adopted into the English language; or to designate titles of books, full-length plays,

pamphlets, magazines, newspapers, and journals. However, parts of books and magazines--chapters, articles--are set off by quotation marks. For example, A. Lawrence Lowell's essay "Democracy and the Constitution" appears in Essays on Government. The initial letters of all important words are capitalized, as in the case of book titles.

In the body of the paper proper, no underscoring is used for the security classification, chapter numbers, or chapter titles. Chapter subdivision headings and column headings in tables are normally underscored and are written with initial letters of all important words capitalized.

Names of Ships. The first reference to the name of a ship is formal, e.g., the U.S.S. Topeka (CLG-8). All subsequent reference should use an abbreviated form, e.g., the Topeka.

Conventions for Use within Quotations. In using quoted material, certain rules must be observed.

Omissions (Ellipsis). Omissions of sentences or parts of sentences may be made only if they do not destroy or distort the author's meaning. The omission should be indicated by the use of ellipsis marks (three spaced periods . . .). When they appear at the end of a sentence, the ellipsis marks should be followed by a period or other appropriate end-mark of punctuation, e.g., "our only test . . . is what is actually desired. . . ." If the sentence ends and the omission is the next sentence or two, the period is placed after the last word of the first sentence immediately followed by the ellipsis.

Additions (Brackets). Additions should be made to quotations only when immediate editorial comment is necessary--to supply an essential date, name, or explanation. All such additions should be enclosed by brackets []. Parentheses in quotations are used only to enclose matter contained within parentheses in the original.

[Sic]. [Sic], meaning "thus," is used within brackets immediately following an apparent error or questionable assertion in the quoted material, or when the author

wishes to insist upon the literal accuracy of the form in which a statement or word appears.

Verse Quotations. These should be typed in verse form, the line arrangement and indentions following those in the original work. Verse quotations are indented both left and right, and centered as nearly as possible. Single-spaced indented matter is not enclosed in quotation marks.

Hyphen and Dash. In typed material, a hyphen and a dash are made differently. A hyphen consists of one mark (-), e.g., "the man-eating shark." A dash consists of two marks closed up (--), e.g., "these are shore deposits-- gravel, sand, and clay--but marine deposits underlie them."

Division of Words. A common use of the hyphen is to indicate the continuation of a word divided at the end of a line. However, certain rules for the division of words should be followed.

The repeated division of words at the end of lines should be avoided so far as possible without sacrificing good spacing.

Hyphenated words are preferably divided at the compounding hyphen.

A word should not be divided on a single letter; division on two letters should be avoided if possible.

The last word on a page preferably is not divided.

Such abbreviations as USMC, USN, D.C., a.m., and acronyms should not be divided at the end of a line.

Initials should not be divided at the end of a line, and, preferably, they should not be separated from the names to which they belong.

The dictionary should always be consulted when there is a question of proper syllabication.

Alternate Dots. In any tabulation within the text where alternate dots are used as a line of sight (in the table of contents, for example), place all the dots on the even numbers of the front scale of the typewriter. This will result in

locating all dots on perpendicular lines and having them properly spaced. The last dot on the right should be at least two spaces from the place where the longest numeral begins.

Abbreviations. The student should use abbreviations with caution to avoid confusing the reader. Abbreviations not universally known should be followed in the text by the spelled-out forms in parentheses the first time they occur. In tables, such explanatory matter should be supplied in a footnote.

Abbreviations with periods are typed without spacing, e.g., U.S., U.S.S.R., N.Y. Acronyms and initials for governmental agencies and other organized bodies are typed without periods (exception: U.N.), e.g., NATO, MIT, AFL-CIO. When used as an adjective, United States may be abbreviated, but never as a noun, e.g., U.S. foreign policy, U.S. Congress, the policy of the United States. Names of foreign countries, except the U.S.S.R., are not abbreviated.

Acronyms, when pluralized, are written without an apostrophe, e.g., OCAs (own course of action).

Tables. The objective of a table is to communicate in a clear and concise format material which cannot be displayed as clearly in any other way. Tabular information should be kept as simple as possible so that the meaning of the data will be obvious to the reader.

All pages of the paper must be filled except the final page of a chapter. Normally, a table will appear on the same page as the text which describes it. Tables shall be separated from the text, both above and below, by three spaces (see page 9, paragraph 1). Should there be insufficient space remaining on the page to accommodate the table, the page should be completed with text and the table presented on the following page. When using a series of tables which would interrupt the text, the student should consider incorporating them in an appendix instead.

Tabular footnotes are listed two line spaces below a table, separated from textual footnotes and using lowercase letters, not numbers (see tabular example, page 92, Appendix II). Footnote superscripts in the body of a table are placed to the right of the data to which they refer.

The source entry is indicated two line spaces beneath the footnotes.

An extensive description of tabular work is presented in the U.S. Government Printing Office Style Manual.

Illustrations. Figures (e.g., charts, diagrams, graphs, maps, photographs) are another way to present information in a visual form. The three most common types of illustrations used in reporting research are the line chart, bar graph, and area chart.

The line chart depicts the relationship between two variables, plotted on a rectangular coordinate graph system. By placing two or more lines or curves on the chart, the reader may compare the relationships among several series of data. Appendix II, page 94, illustrates the principle of a line chart.

The bar graph consists of a series of bars arranged either horizontally or vertically to show the relationship among certain data. The bars may be of different lengths for direct comparison of size, or of equal length to permit comparison of component elements. For models of each kind, see Appendix II, pages 95 and 96 respectively.

The area chart illustrates the relationship among data by comparison of the percentage of volume or area assumed by each category of data. An example of an area chart is found in Appendix II, page 97.

Figures are numbered, in Arabic numerals, above the illustration. Each figure will have a title, appearing one triple space beneath the figure number. Source references and footnotes are treated in the same manner as for tabular work (see page 94). Figures appearing in the main body of a paper shall be separated from the text, both above and below, by three spaces.

CHAPTER III

FOOTNOTES AND BIBLIOGRAPHY

An author acknowledges the source of reference material used in the preparation of a research paper by means of notes, footnotes, and bibliographic entries. Such documentation protects an author from being held responsible for the authenticity of another writer's research, and serves as a convenience to the reader using the paper. A footnote is a supplementary statement which provides information at a specific point in the text, whereas the bibliography is a compilation of all the reference sources used throughout the paper. This chapter will examine both the similarities and peculiarities of each type of acknowledgment. It will also discuss the procedure for obtaining permission from the originator for the use of certain materials in a paper. In addition, there are included selective listings of publishers' names and other bibliographic terminology in acceptably abbreviated form.

Notes and Footnotes

Types of Notes and Footnotes. The three most common types of footnotes are explanatory footnotes, cross-reference footnotes, and citation or documentary footnotes.

Explanatory footnotes are amplifications of the text which, if included in the body of the text, would interrupt the train of thought. They may be given with or without any supporting references. To avoid overuse of this device, the writer should omit unnecessary supplementary material from the paper and try to accommodate most of the remaining material smoothly into the text. See footnote 1 of this chapter for an example of an explanatory footnote.

Cross-reference footnotes are used to refer the reader to other parts of the paper. They may be combined with references to other works or with explanatory remarks. Again, to avoid unnecessary distractions to the reader, they should be used sparingly. Footnote 2 of this chapter is a cross-reference footnote.

The citation or documentary note, which is by far the most common type, is used to identify the source of significant information found in the text. Significant information

may appear as a direct or indirect quotation or as a statement of fact. However, in order for a quotation to require a documentary note, it must not be so familiar that it is "in the public domain": the quotation "Give me liberty or give me death!" would not be noted. Similarly the statement of a fact which is generally accepted or well known, such as the fact that George Washington was the first president of the United States, is not noted. The author is called upon to use good judgment, based upon a consideration of the context and the guidelines presented above, in determining which material should be noted.

Placement, Form, and Numbering of Notes and Footnotes.

Explanatory notes and cross-reference notes will be presented in the form of footnotes; that is, they are placed at the bottom of the page containing the material to which they refer. Citation or documentary notes will be arranged as notes, and presented as a separate section immediately following the appendixes of the paper, and immediately preceding the bibliography.

The notes are numbered consecutively by chapter as illustrated on pages 86-87. The title "NOTES" will be centered on the page, six lines below the top (only the first page of notes will be titled). The chapter heading will begin three lines below the page title. Chapters will be identified as "Chapter I," "Chapter II," "Chapter III," etc. This heading will start at the left-hand margin. The first note will be double-spaced below the chapter identification. Each note will be single-spaced, with double spacing between succeeding notes. Each succeeding chapter identification will be listed three spaces below the last note for the preceding chapter. Pages will be numbered consecutively with the text, page numbers being centered six lines above the bottom of the page and no less than one blank line below the last note.

Attention is called to a note by a superior number in the text that corresponds to the number of the note. These numbers are typed a half-space above the line in the text to which they refer. A superscript in the text is not separated by a horizontal spacing from the word of punctuation it

¹In exception to this rule, footnotes to tables and figures begin two spaces below the bottom rule of the table or figure. Superscripts are small letters ("a," "b," etc.) rather than Arabic numerals, and an asterisk may be used if only one footnote is given.

follows. In order to preserve smooth reading, a superscript should not be placed within a sentence unless confusion would result from its being placed at the end. The notes will be typed in paragraph form. The first line, which will begin with the number that corresponds with the superscript in the text, will be indented six spaces for notes 1 through 9 and five spaces for notes 10 and beyond to allow for a double-digit number. The number is followed by a period, two spaces, and then the text of the note. All of the note lines following the first line will be flush with the left-hand margin. The correct form for the presentation of notes is illustrated in the Instructive Examples, pages 21-39, and in Appendix I, pages 86-87.

Explanatory footnotes and cross-reference footnotes are placed at the bottom of the page containing the material to which they refer. They are separated from the text by a line extending 1-1/2 inches from the left margin, made with the underscore key. This line segment is placed two spaces below the text, and the first footnote on the page is double-spaced below it. The first line of each footnote is indented five spaces, and all subsequent lines begin at the left-hand margin. Each footnote is single-spaced within itself, but multiple footnotes on a page are separated by double spacing. The bottom margin and page number will meet the specifications described for regular text on page 7.

Material in the text to which an explanatory or cross-reference footnote refers is identified by one or more asterisks corresponding to the number of asterisks preceding the footnote. The first footnote on a page will be identified by a single asterisk, the second note on the page will be identified by two asterisks, etc. The first line of each footnote should be indented in such a manner that the last asterisk preceding the note should be indented five spaces. Asterisks are not separated from the word they follow in the text, or the word they precede in the footnote. Like the superscript identifying citation notes, they should not be placed within a sentence.

The basic forms for each type of note and footnote are illustrated on pages 21-39.

Bibliography

Content of Bibliography. A bibliography is a compilation of writings related to a given subject. A research paper bibliography must contain references to all of the basic written sources cited in the text of the paper and the footnotes, as well as all other written matter which the author found essentially helpful in preparing the paper. Only basic sources, not chapters or small parts thereof, are entered in a bibliography.² Whether or not such ephemeral material as letters, interviews, and telephone conversations appears in the bibliography is left to the author's discretion.

Form of Entries. The first line of each bibliographic entry is flush with the left-hand margin and following lines are indented five spaces from the margin. Entries are single-spaced internally and separated by double spacing.

Bibliographic entries are listed alphabetically by author's last name, or, if no author is given, by the first important word in the title. In second and succeeding entries for works by the same author, the name of the author is not given. Instead, the author's name is replaced by a line segment eight spaces long made with the underscoring key. For government documents each repeated unit of the author entry is replaced by such a line segment. If the entire author entries are the same for two or more works, they are arranged alphabetically by title.

Examples:

Macintyre, Donald G.F.W. The Battle for the Pacific. New York: Norton, 1966.

_____. The Battle of the Atlantic. New York: Macmillan, 1961.

²In the case of encyclopedias and other multivolume or multisubject works, the volume and page numbers are included in the bibliographic entry to indicate the extent of actual research. Examples of such entries are given on page 26.

U.S. Congress. House. Committee on Foreign Affairs. . . .

_____. _____ . _____

_____. _____ . Committee on Government Operations.

Content of Bibliographic Entries and First-Reference Notes

Parts in Common. Aside from the obvious differences between bibliographic entries and first-reference notes (order of author's name, punctuation, and use of parentheses), the two types of acknowledgment are quite comparable in content. The items of information which they both provide are discussed below.

Author. The author's name should include forename, and middle initial(s). Titles such as doctor, professor, or captain, together with the author's position and degrees held, should be omitted; however, include titles of nobility before Christian name or initials. If the work was issued by an organization without naming an author, the official title of the organization should be entered in place of the name of the author. If an editor, translator, or compiler is to be listed instead of an author, their name should be followed by a comma and "ed.," "trans.," or "comp."

Title. In a title the first word and every word except articles, prepositions, and conjunctions should be capitalized. The title of a complete published work, such as a book or a series of books, is underlined. When a periodical article is acknowledged, its title is placed in quotation marks and the publication in which it is found is underscored. Titles of unpublished material, such as dissertations, are placed in quotation marks. Subtitles should not be included except when they are necessary to clarify the meaning or scope of the main title.

Edition. Any edition of a work after the first shall be indicated by placing the appropriate abbreviation, such as "2d ed.," after the title.

Imprint. The imprint consists of the place of publication, name of publisher, and date of publication. The place of publication is indicated by the name of the city written

out and the name of the state abbreviated using standard state abbreviations. For example, either "N.Y." or "NY" might be used, but all states must be abbreviated consistently. However, the name of the state is omitted if the city is well known or if the publisher is a state university press. If two or more cities appear under the publisher's imprint, only the first one is listed. The abbreviation "n.p." is used if no place of publication is indicated.

The name of the publisher is seldom given in full; the publisher's initials and such words as "Company," "Publisher," and "and Sons" are omitted. A list of commonly used shortened forms is given on page 41. However, when listing a publisher with subsidiary divisions, always list the major activity first, followed by the secondary division; for example:

Georgetown University. Center for Strategic
and International Studies

Princeton University. Center for International
Studies

U.S. Air University. War College

U.S. Dept. of the Army. Office of Military
History

If the publisher is unknown, the abbreviation "n.p." should be used. When both place of publication and publisher are unknown, use "n.p.: n.p." If the publisher and the author are the same organization, the name of the publisher is omitted.

The date of publication is usually shown on the title page. If no data appears there, use the latest copyright date given on the back of the title page, preceded by the letter "c." The day, month, and year should appear if that information is provided. The abbreviation "n.d." shall be used if no date is given.

Citations of Classified Sources. First-reference footnotes and bibliographic entries for a classified source must include the classification of the source in all capital letters as the last item in the citation. In addition, the title of a classified source document is followed by a single space and (U), (C), (S), or (TS) each time it appears in the research paper. Examples of footnotes and bibliographic entries for classified documents are found on pages 36-37.

CAUTION: The Central Intelligence Agency does not classify separately the titles of its publications but considers that the titles bear the same classification as the publications themselves. Students should not add the classification symbol to the title of a CIA document. Nevertheless, the fact that the title of a CIA document is classified requires that any pages of a research paper on which the title appears be classified at least as high as the CIA document itself.

Instructive Examples. The following list of bibliographic entries and first-reference notes represents the most common types of sources the student is likely to employ. While the examples presented here do not include every type of documentable source, they should guide the student in composing other documentations. Immediately following each sample note (labeled "N") is its corresponding bibliographic entry (labeled "B").

Books

One Author, One Volume

N 1. Harvey Starr, Henry Kissinger; Perceptions of International Power (Lexington: University Press of Kentucky, 1984), p. 73.

B Starr, Harvey. Henry Kissinger; Perceptions of International Power. Lexington: University Press of Kentucky, 1984.

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N 2. Milton Lomask, Aaron Burr (New York: Farrar, Straus & Giroux, 1982), v. 2, p. 243.

B Lomask, Milton. Aaron Burr. New York: Farrar, Straus & Giroux, 1979-1982. 2v.

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N 3. Allen Isaacman and Barbara Isaacman, Mozambique: from Colonialism to Revolution, 1900-1982. (Boulder, CO: Westview Press, 1983), p. 145.

B Isaacman, Allen and Isaacman, Barbara. Mozambique: from Colonialism to Revolution, 1900-1982. Boulder, CO: Westview Press, 1983.

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N 4. Marvin Gettleman et al., El Salvador: Central America in the New Cold War (New York: Grove Press, 1981), pp. 339-341.

B Gettleman, Marvin et al. El Salvador: Central America in the New Cold War. New York: Grove Press, 1981.

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N 5. George Washington, The Diaries of George Washington: Vol. VI, January 1790-December 1799. (Charlottesville: University Press of Virginia, 1979), p. 97.

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N 6. Fawn M. Brodie, Richard Nixon; the Shaping of His Character (New York: Norton, 1981), pp. 473-474; William Safire, Before the Fall; an Inside View of the Pre-Watergate White House (Garden City, NY: Doubleday, 1975), p. 613.

B Brodie, Fawn M. Richard Nixon; the Shaping of His Character. New York: Norton 1981.

B Safire, William. Before the Fall; an Inside View of the Pre-Watergate White House. Garden City, NY: Doubleday, 1975.

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N 7. Consolidation of Base Operations Support (BOS) in Panama (Washington: Logistics Management Institute, 1982), pp. 3-19.

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N 8. Jorge Heine, ed., Time for Decision: the United States and Puerto Rico (Baltimore, MD: North-South, 1983), p. 154.

- B Heine, Jorge, ed. Time for Decision: the United States and Puerto Rico. Lanham, MD: North-South, 1983.

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- N 9. Frederick H. Hartmann, The Relations of Nations, 6th ed. (New York: Macmillan, 1983), p. 125.
- B Hartmann, Frederick H. The Relations of Nations. 6th ed. New York: Macmillan, 1983.

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- N 10. Wendell Willkie, quoted in Nigel Hamilton, Master of the Battlefield: Monty's War Years, 1942-1944 (New York: McGraw-Hill, 1983), p. 4.
- B Hamilton, Nigel. Master of the Battlefield: Monty's War Years, 1942-1944. New York: McGraw-Hill, 1983.

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- N 11. John S. Barnes, Submarine Warfare, Offensive and Defensive (New York: Van Nostrand, 1869; reprint ed., Ann Arbor, Mich: Xerox University Microforms, 1974), p. 102.
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- B The Bible. Revised Standard Version.

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- N 13. U.S. Congressional Budget Office, Manpower for a 600-Ship Navy: Costs and Policy Alternatives (Washington: 1983), p. 10.
- B U.S. Congressional Budget Office. Manpower for a 600-Ship Navy: Costs and Policy Alternatives. Washington: 1983.

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N 2. "Will North Africa Be Next Hot Spot for U.S.?" U.S. News & World Report, 12 March 1984, p. 35.

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- B "Peloponnesian War." The New Encyclopaedia Britannica, Macropaedia. 15th ed. v. 14, pp. 20-23.
- N 11. John S. Pustay, "Guerilla Warfare," The Encyclopedia Americana, 1984 ed., v. 13, p. 560.
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- B Collins, Michael J., ed. Teaching Values and Ethics in College. San Francisco: Jossey-Bass, 1983.

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- N 13. "Grenada--Military Coup--Intervention by US and Caribbean Forces," Keesing's Contemporary Archives, January 1984, p. 32614.
- B "Grenada--Military Coup--Intervention by US and Caribbean Forces." Keesing's Contemporary Archives, January 1984, pp. 32614-32618.
- N 14. "Poland," Deadline Data on World Affairs, 30 January 1984, p. 7.
- B "Poland." Deadline Data on World Affairs, 30 January 1984, pp. 1-7.
- N 15. "Latin America & the Caribbean," Quarterly Energy Review, no. 1, 1983, p. 12.
- B "Latin America & the Caribbean." Quarterly Energy Review, no. 1, 1983, pp. 1-43.

N 16. Leonid Zamyatin, "Zamyatin Urges Return to Helsinki Principles," Daily Report: Soviet Union, 29 March 1984, p. AA2.

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- N 4. U.S. Congress, House, Committee on International Relations, Subcommittee on International Political and Military Affairs, Seizure of the Mayaguez, Hearings (Washington: U.S. Govt. Print. Off., 1976), pt. 4, pp. 66-69.
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- N 5. U.S. Congress, Joint Economic Committee, President Reagan's Economic Program, Hearing (Washington: U.S. Govt. Print. Off., 1981), p. 60.
- B U.S. Congress. Joint Economic Committee. President Reagan's Economic Program. Hearing. Washington: U.S. Govt. Print. Off., 1981.

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- B U.S. Congress. House. Committee on Foreign Affairs. U.S. Foreign Policy and the Law of the Sea. Hearings. Washington: U.S. Govt. Print. Off., 1982.
- N 7. John M. Maury, et al., "Statements and Discussion" (on the Mayaguez), U.S. Congress, House, Committee on Appropriations, Department of Defense Appropriations for 1976, Hearings (Washington: U.S. Govt. Print. Off., 1976), pt. 3, pp. 603-621.
- B U.S. Congress. House. Committee on Appropriations. Department of Defense Appropriations for 1976. Hearings. Washington: U.S. Govt. Print. Off., 1976. 10pts.

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- B U.S. Joint Deployment Agency. Joint Deployment System Functional Description. Macdill Air Force Base, FL: 1982.

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- N 2. U.S. Navy Dept., Contractor Support Services (CSS), NAVMATINST 4200.50C (Washington: 1982), p. 2.
- B U.S. Navy Dept. Contractor Support Services (CSS). NAVMATINST 4200.50C. Washington: 1982.

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- N 3. U.S. Dept. of Defense, Report on Allied Contributions to the Common Defense (Washington: 1983), pp. 39-48.
- B U.S. Dept. of Defense. Report on Allied Contributions to the Common Defense. Washington: 1983.

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- N 1. U.S. National Aeronautics and Space Administration, NASA Aeronautics (Washington: n.d.), p. 13.
- B U.S. National Aeronautics and Space Administration. NASA Aeronautics. Washington: n.d.

N 2. U.S. Central Intelligence Agency, Directorate of Information, Appearances of Leading Chinese Officials during 1982 (Washington: 1983), pp. 94-97.

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N 3. Center for Naval Analyses, Institute of Naval Studies, Soviet Naval Diplomacy: Summary Briefing, Memorandum; CNA 78-0083.10 (Arlington, VA: 1978), p. 26.

B Center for Naval Analyses. Institute of Naval Studies. Soviet Naval Diplomacy: Summary Briefing. Memorandum; CNA 78-0083.10. Arlington, VA: 1978.

N 4. Alan Vick, Some Thoughts on Deterrence, F-6916. (Santa Monica, CA: Rand, 1983), p. 15.

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N 1. "United States Navy Regulations and Official Records," Code of Federal Regulations, Title 32--National Defense (Washington: U.S. General Services Administration, National Archives and Records Service, Office of the Federal Register, 1 July 1983), chap. VI, pt. 700-701.

B Code of Federal Regulations, Title 32--National Defense. Washington: U.S. General Services Administration. National Archives and Records Service. Office of the Federal Register, 1 July 1983.

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- N 2. U.S. President, Executive Order, "Manual for Courts Martial, United States, 1984," Federal Register, 23 April 1984, p. 17358.
- B U.S. President. Executive Order. "Manual for Courts Martial, United States, 1984." Federal Register, 23 April 1984, pp. 17152-17430.

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- N 3. U.S. President, Proclamation, "Death of Federal Diplomatic and Military Personnel in Beirut, Lebanon," Weekly Compilation of Presidential Documents, 25 April 1983, p. 571.
- B U.S. President. Proclamation. "Death of Federal Diplomatic and Military Personnel in Beirut, Lebanon." Weekly Compilation of Presidential Documents, 25 April 1983, p. 571.

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- N 4. U.S. Laws, Statutes, etc., "An Act to Revise the Laws Relating to the Coast Guard Reserve," United States Statutes at Large, Public Law 96-322, 96th Congress, 2d sess. (Washington: U.S. Govt. Print. Off., 1981), v. 94, pt. 1, pp. 1002-1015.
- B U.S. Laws, Statutes, etc. "An Act to Revise the Laws Relating to the Coast Guard Reserve." United States Statutes at Large. Public Law 96-322, 96th Congress, 2d sess. Washington: U.S. Govt. Print. Off., 1981. v. 94, pt. 1.

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- N 5. U.S. Laws, Statutes, etc., "General Military Law," U.S. Code, Title 10--Armed Forces, 1976 ed. (Washington: U.S. Govt. Print. Off., 1977), sec. 101-2774.
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B "MX Missile Deployment." Weekly Compilation of Presidential Documents, 16 May 1983, pp. 723-725.

N 2. "Condemning the Assassination of U.S. Naval Attaché in Athens," Congressional Record, 17 November 1983, p. S16466.

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- N 2. United Nations, Economic and Social Council, Official Records: Population Commission, 22d Session, Supplement No. 2, E/1984/12; E/CN. 9/1984/9 (New York: 1984), p. 24.
- B United Nations. Economic and Social Council. Official Records: Population Commission. 22d Session, Supplement No. 2. E/1984/12; E/CN. 9/1984/9. New York: 1984.
- N 3. United Nations, General Assembly, Official Records: Resolutions and Decisions Adopted by the General Assembly during Its Thirty-Seventh Session, 21 September-21 December 1982 and 10-13 May 1983. Resolution 37/66, A/37/51 (New York: 1983), pp. 26-27.
- B United Nations. General Assembly. Official Records: Resolutions and Decisions Adopted by the General Assembly during Its Thirty-Seventh Session, 21 September-21 December 1982 and 10-13 May 1983. 37th Session, Supplement No. 45. A/37/51. New York: 1983.
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N 1. International Atomic Energy Agency, Nuclear Power and the Environment (Vienna: 1973), p. 43.

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- N 2. U.S. Central Intelligence Agency. (Title, assumed to be classified Secret) (Washington: U.S. Govt. Print. Off., 9 March 1978), pp. 90-93. SECRET
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- N 1. U.S. Dept. of Defense, Foreign Military Sales and Military Assistance Program; Congressional Presentation, Fiscal Year 1975 (U), rev. ed. (n.p.: 12 April 1974), pp. 11-12. SECRET
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- N 2. U.S. Office of Naval Operations, Electronic Warfare Operations Security (U), OPNAVINST S3430.21 (Washington: 22 September 1978), p. 2. SECRET
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B U.S. Navy. Atlantic Fleet. Naval Surface Force. Operation
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N 2. Anthony P. Tokarz, "Legal Implications for U.S.
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- N 5. Telephone conversation with Fred C. Ikle, Under
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1984.

- B Telephone conversation with Fred C. Ikle, Under Secretary of
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Content of Subsequent Reference Notes

After the required information about a source has been furnished in a first-reference documentary note, it is not necessary to repeat all of that information in subsequent notes for that source. Subsequent reference notes must, however, plainly identify the source.

The Brief Form. Second and following references to a source may be made by listing only the last name of the author(s) or editor(s), followed by the appropriate volume number (if any) and page reference, so long as they occur within the same chapter.

Examples:

- 7. Faulkner, ed., v. IV, p. 17.
- 9. Stillman and Pfaff, p. 62.
- 13. Senate Appropriations Committee, p. 429.

If more than one work by the same author, editor, or organization has been previously cited, the title of the appropriate work must be included in each subsequent reference note. The title may then be given in shortened form provided that the work is clearly identified.

Examples:

- 15. Kennedy, Profiles, p. 127.

18. Deutsch, Nationalism, p. 71.

Subsequent references to an article with no author given are made by using only the title for identification.

Example:

21. "Twenty Hours at Bay," pp. 10-12.

Use of Ibid. The use of the abbreviation ibid. (ibidem, Lat., "in the same place") is a common variation to the brief form of subsequent reference notes within the same chapter. When references to the same work follow each other without any intervening reference, ibid. is used in the new entry like a specialized ditto mark to indicate without actually repeating as much of the preceding citation as is appropriate. If a different page number is needed in the new entry, it must follow ibid.

Examples:

22. Hairston, p. 71.
23. Ibid.
24. Ibid., pp. 75-78.

Since ibid. refers to place, it must not be used as a substitute for the author's name in a note in which the title of the work differs from that of the preceding note.

Examples:

25. Mitchell, Advance, p. 70.
26. Ibid., Logistics, p. 13. (Incorrect)
27. Mitchell, Logistics, p. 13 (Correct)

Often the author can avoid a long list of ibid. citations at the bottom of a page by combining them into one. Furthermore, when an author's discussion in a particular segment of the paper is based on the research of another writer, an explanatory footnote may be used to so indicate, thereby eliminating the need for frequent and repetitious references.

Special Permission

It is often necessary to obtain special permission from the originator of both classified and unclassified materials before they can be used in a research paper. Since lectures and interviews are "privileged" material, special permission must always be obtained in writing from the lecturer or interviewee before such remarks may be quoted.

Normal use of copyrighted materials in scholarly research efforts, such as student papers, does not require special permission from the copyright authority. However, if the student is considering submitting a paper for publication, special permission will often be necessary. Moreover, the student should obtain permission when quoting extensively from materials or when incorporating these materials in their entirety into a paper. The student should be aware that copyrighted materials include such items as maps, photographs, drawings, and tables as well as verbal text and should exercise proper caution in their reproduction and use. In the event that special permission to use copyrighted material is required, the student shall submit a request through the appropriate academic department to the Director, Academic Services, containing the following information: title of source of material, name of author, name of publisher, date of publication, exact passage(s) required, and explanation and date of proposed use. About an eight weeks' period is generally required to obtain copyright clearance. Further information on the use of copyrighted materials is given in SECNAVINST 5870.1 series and in NAVWARCOLINST 5870.1 series.

Selected List of Publishers
(Shortened Form)

American Elsevier	Monthly Review Press
Appleton-Century-Crofts	Morrow
Atheneum	Mouton
Ballinger	Nijhoff
Barnes	Northwestern University Press
Basic Books	Norton
Bobbs-Merrill	Oceana
Brookings Institution	Oxford University Press
Cambridge University Press	Pantheon Books
Columbia University Press	Penguin Books
Cornell University Press	Pergamon Press
Coward, McCann & Geoghegan	Praeger
Crane-Russak	Prentice-Hall
Crowell	Princeton University Press
Day	Public Affairs Press
Devin-Adair	Putnam
Dodd, Mead	Quadrangle/The N.Y. Times
Doubleday	Book Company
Dutton	Rand McNally
Farrar, Straus & Giroux	Random House
Follett	Regnery
Foreign Policy Association	Rutgers University Press
Funk & Wagnalls	Sage
George Washington University	St. Martin's Press
Georgetown University.	Scarecrow Press
Center for Strategic and	Schocken Books
International Studies	Scribner
Harcourt Brace Jovanovich	Sijthoff & Noordhoff
Harper & Row	Simon & Schuster
Harvard University Press	Stackpole
Holt, Rinehart & Winston	Stanford University Press
Hoover Institution Press	Time-Life Books
Houghton Mifflin	U.S. Air University.
International Institute for	War College
Strategic Studies	U.S. Govt. Print. Off.
International Publishers	University of California Press
Johns Hopkins University	University of Chicago Press
Press	University of Pennsylvania Press
Knopf	Van Nostrand-Reinhold
Lippincott	Viking Press
Little, Brown	Walker
Longman	Weidenfeld & Nicolson
McGraw-Hill	Wiley
McKay	Wilson
Macmillan	World
MIT Press	Yale University Press

Abbreviations

art., arts.	-- article, articles
cf. ante	-- compare above
cf. post	-- compare after
chap., chaps.	-- chapter, chapters
comp., comps.	-- compiler, compilers
dept.	-- department
ed., eds.	-- editor, editors
ed.	-- edition
et al.	-- <u>et alii</u> (and others)
ff.	-- more than one page following
<u>ibid.</u>	-- <u>ibidem</u> (in the same place)
n.d.	-- no date
n.p.	-- no place; no publisher
no., nos.	-- number, numbers
p., pp.	-- page, pages
par., pars.	-- paragraph, paragraphs
pt., pts.	-- part, parts
ref.	-- reference
rev. ed.	-- revised edition
sec., secs.	-- section, sections
trans.	-- translator
v.	-- volume, volumes
v.p.	-- various paging

CHAPTER IV

SECURITY

This chapter offers guidance to the proper security classification of a research product if security classification is required. The body of the chapter contains pertinent excerpts from the Department of the Navy Information Security Program Regulation* (OPNAVINST 5510.1 series) intended to give a basic picture of the classification process. All paragraph references are to this regulation. Page 58 contains procedures which must be followed by researchers in classification of their papers. Pages 59-60 provide a sample memorandum to be forwarded to the President/Security Manager recommending assignment of security classification to a research paper. In the event there is a specific classification guide available for the topic undertaken (see page 61 for identification procedures), the reference given in the memorandum to support the classification may consist merely of the appropriate citation from that guide. All other procedures should be followed as described in this chapter. Page 61 offers a brief guide to the location of specific instructions and paragraphs in the Security Manual that will further assist the researcher.

Naval War College Instruction 5510.3 series describes the scope of Naval War College classification authority. The President has original classification authority for SECRET, CONFIDENTIAL, and TOP SECRET classification.

During the preliminary preparation of a classified research product the individual researcher must safeguard all output and working papers in accordance with security regulations and at a level similar to that of the intended final classification. Because of the nature of working papers, markings need not be comprehensive. It is suggested that specially marked folders or other appropriate containers be utilized to avoid security violations.

*Hereinafter referred to as the Security Manual.

Classification

5101.2.4; 5103; 5105.4; 5107.2.3*

5101 CLASSIFICATION DESIGNATIONS

2. Top Secret. "Top Secret" is the designation which shall be applied only to information or material the unauthorized disclosure of which could reasonably be expected to cause exceptionally grave damage to the national security. Examples of "exceptionally grave damage" include armed hostilities against the United States or its allies; disruption of foreign relations vitally affecting the national security; the compromise of vital national defense plans or complex cryptologic and communications intelligence systems; the revelation of sensitive intelligence operations; and the disclosure of scientific or technological developments vital to national security.

3. Secret. "Secret" is the designation which shall be applied only to information or material the unauthorized disclosure of which could reasonably be expected to cause serious damage to the national security. Examples of "serious damage" include disruption of foreign relations significantly affecting the national security; significant impairment of a program or policy directly related to the national security; revelation of significant military plans or intelligence operations; compromise of significant military plans or intelligence operations; and compromise of significant scientific or technological developments relating to national security.

4. Confidential. "Confidential" is the designation which shall be applied to information or material the unauthorized disclosure of which could reasonably be expected to cause identifiable damage to the national security. Examples of "identifiable damage" include the compromise of information which indicates strength of ground, air, and naval forces in the United States and overseas areas; disclosure of technical information used for training, maintenance, and inspection of classified munitions of war; revelation of performance characteristics, test data, design, and production data on munitions of war.

*All paragraph references are to the Security Manual (OPNAVINST 5510.1 series)

5-103 DERIVATIVE CLASSIFICATION

1. Derivative application of classification markings is a responsibility of those who incorporate, paraphrase, restate, or generate in new form, information which is already classified or those who apply markings in accordance with guidance from an original classification authority. Persons who apply derivative classifications shall take care to determine whether their paraphrasing, restating or summarizing of classified information has removed all or part of the basis for classification. Persons who apply such derivative classification markings shall:

- a. Respect original classification decisions;
- b. Verify the current level of classification of the information so far as practicable before applying the markings; and
- c. Carry forward to any newly created documents the assigned dates or events for declassification or review and any additional authorized markings. Where checks with originators or other appropriate inquiries show that no classification or a lower classification than originally assigned is appropriate, the information shall be marked accordingly.

2. Information extracted from a classified source will be classified, or not classified as the case may be in accordance with the classification markings shown in the source. The overall marking and internal marking of the source should supply adequate classification guidance to the person making the extraction. If internal markings are lacking, as an exception to the general rule, and if no classification guidance is included in the source and no reference is made to an applicable classification guide which is available for use by the person making the extraction, the extracted information or material shall be classified to correspond to the overall marking of the source, or in accordance with guidance specifically sought and received from the classifier of the source material. In this regard, persons who extract shall, to the maximum extent practicable, verify the current level of classification of the information extracted.

5-105 ORIGINAL CLASSIFICATION PRINCIPLES, CRITERIA AND
CONSIDERATIONS

4. Specific Classifying Criteria. A determination to classify shall be made only by an original classification authority and only when, first, the information meets one or more of criteria in a through g below; and second, the unauthorized disclosure of the information reasonably could be expected to cause at least identifiable damage to the national security. The determination involved in the first step is separate and distinct from that in the second. The fact that the information falls under one or more of the criteria shall not be presumed to mean that the information automatically meets the damage criteria. Information may not be considered for classification unless it concerns:

- a. Military plans, weapons, or operations;
- b. Foreign government information;
- c. Intelligence activities, sources or methods;
- d. Foreign relations or foreign activities of the United States;
- e. Scientific, technological, or economic matters relating to the national security;
- f. United States Government programs for safeguarding nuclear materials or facilities; or
- g. Other categories of information which are related to national security and which require protection against unauthorized disclosure as determined by the Secretary of the Navy. Recommendations concerning need for any such additional category of information which may be considered for classification shall be forwarded through channels to the Chief of Naval Operations (OP-009) for determination. Each such determination shall be:

(1) reported promptly by the Chief of Naval Operations (OP-009) to the Director for Information Security, Office of the Deputy Under Secretary of Defense (Policy), for reporting to the Director of the Information Security Oversight Office, and

(2) promulgated by a change to this regulation.

5-107 DURATION OF ORIGINAL CLASSIFICATION

2. Duration

a. Information shall be classified only so long as its unauthorized disclosure would result in at least identifiable damage to the national security. Any willful extension beyond that period is a violation of this regulation.

b. Except as provided in c., below, dates or events on which automatic declassification should occur shall be as early as the national security will permit and shall be no more than six years from the date of original classification.

c. Classification at any level may be prolonged for more than six years only by officials designated as original Top Secret classification authorities. This authority shall be exercised sparingly and only when such officials determine that, for one or more of the reasons contained in paragraph 3 below, the two conditions specified in paragraph 5-105.4 as prerequisite to original classification will continue throughout the entire period the classification will be in effect.

d. In every case, an original Top Secret classification authority who prolongs a classification for more than six years shall set a specific date or event for declassification or a specific date for review for declassification which shall be as early as the national security permits but not more than twenty years from the date of original classification.

3. Reasons for Extending Duration

a. The information is "foreign government information" as defined in this regulation.

b. Protection of the information is specifically required by statute.

c. The continuing protection of the information is absolutely essential to the national security because it reveals intelligence sources or methods which, if lost, cannot be regained or replaced.

d. The continuing protection of the information is absolutely essential to the national security because it pertains to cryptography.

e. The information reveals vulnerability or capability data the unauthorized disclosure of which can reasonably be expected to result in negating or nullifying the effectiveness of a system, installation or project important to the national security.

f. The information concerns plans important to national security the unauthorized disclosure of which can reasonably be expected to result in negating or nullifying the effectiveness of the plan itself or impeding its orderly implementation.

g. The information concerns specific foreign relations matters the continued protection of which is essential to the national security.

h. Disclosure of the information would place in immediate jeopardy a person important to the national security.

Marking

8-101--8-103.5; 8-105; 8-112; 8-114; 8-116; 8-118.2

8-101 OVERALL AND PAGE MARKING

The overall classification of a document shall be marked, stamped, or permanently affixed at the top and bottom of the outside of the front cover (if any), on the title page (if any), on the first page, and on the outside of the back cover (if any). To achieve production efficiency, each interior page of a classified document shall be marked or stamped at the top and bottom according to the highest overall classification of the document.

8-102 MARKING COMPONENTS

Major components of some documents are likely to be used separately. In such instances, each major component shall be marked as a separate document. Examples include each annex, appendix, or similar component of a plan, program or operations order; attachments and appendices to a memorandum or letter; or each chapter of a report or document.

8-103 PORTION AND PARAGRAPH MARKING

1. Each portion, section, part, paragraph or subparagraph of a classified document shall be marked to show the level of classification, or that the portion, section, part, paragraph or subparagraph is unclassified. It is the intent of this requirement that a document and portions of a document be sufficiently well marked that any uncertainty as to which of its portions contains or reveals information which must be protected will have been eliminated. Classification levels of portions of a document shall be shown by the appropriate classification symbol placed immediately following the portion letter or number, or in the absence of letters or numbers, immediately before the beginning of the portion. The parenthetical symbols "(TS)" for Top Secret, "(S)" for Secret, "(C)" for Confidential, and "(U)" for Unclassified, shall be used. When appropriate, the symbols "RD" for Restricted Data and "FRD" for Formerly Restricted Data shall be added, e.g., "(S-RD)" or "(C-FRD)."

2. Except in those cases where a source of intelligence would be revealed, portions, sections, parts, paragraphs or subparagraphs of United States documents containing foreign government information shall be marked to reflect the country or international organization of origin as well as the appropriate classification, e.g., "(NATO-S)" or "(U.K.-C)."

3. The classification of the text of the lead-in portion of a paragraph will be indicated at the beginning of the text with the appropriate parenthetical symbol. The classification of subordinate portions or subparagraphs shall be shown by the appropriate parenthetical symbol immediately following the portion letter or number. In the absence of letters or numbers, classification shall be shown immediately before the beginning of the paragraph or subparagraph.

For example:

1. (U) This is the lead-in which is unclassified.

a. (C) This subparagraph is Confidential.

(1) (S) This subparagraph is Secret.

2. (U) When a paragraph or subparagraph is unclassified, its subdivisions need not be marked.

NOTE: Classification marking for training purposes only.

4. If, in an exceptional situation, parenthetical marking is determined to be impracticable, the classified document shall contain a description on its face sufficient to identify the exact information that is classified and the classification levels assigned.

5. Illustrations, photographs, figures, graphs, drawings, charts and similar portions of classified documents shall be marked to indicate their level of classification. The marking shall appear immediately next to or within the portion in unabbreviated form. If a caption or subject is used, its classification shall be placed immediately preceding it, in abbreviated form.

8-105 SUBJECTS AND TITLES

Subjects and titles shall be selected, if possible, so as not to require classification. A classified subject or title may be used, however, when necessary to convey information. In that case, an unclassified short title shall be added for reference purposes. To show its classified or unclassified status, a subject or title shall be marked with the appropriate parenthetical symbol (see paragraph 8-103.1) placed immediately following.

8-112 CONVERTING OLD DOWNGRADING/DECLASSIFICATION MARKS TO NEWLY CREATED INFORMATION OR MATERIAL

Newly created information or material which derives its classification from a source document classified, or from a security classification guide promulgated prior to December 1978 shall be treated as follows:

1. If the source document bears, or the security classification guide requires a declassification date or event within 20 years or less from the date of original classification, the date or event shall be carried forward to the newly created material.

2. If the source document bears, or the security classification guide requires, a declassification date or event in excess of 20 years or an indeterminate declassification date or event, the newly created document or material shall be marked with a date for review for declassification on the day and month of the 20th year following original classification determination.*

*See ADDENDUM, page 57.

3. If the source document contains classified foreign government information bearing no date or event for declassification or is marked for declassification beyond 30 years, the newly created information or material shall be marked for review for declassification on 31 December of the 30th year following the original classification determination.*

4. For the purpose of the preceding three paragraphs, the date of the security classification guide or source document shall be deemed to be the date of original classification determination unless that date can be determined otherwise.

5. Information classified under Executive Order 10501 as amended, that is contained in a document or material marked as Group 4 and still so marked, was placed by Executive Order 11652 under the General Declassification Schedule and subject to automatic downgrading at 2-year intervals and declassification as follows:

a. All such information originally classified as Top Secret becomes declassified on 31 December of the tenth year from the year of origin or 31 December 1982, whichever is earlier;

b. All such information originally classified as Secret was declassified on 31 December of the eighth year from the date of origin or on 31 December 1980, whichever was earlier;

c. All such information originally classified as Confidential was declassified on 31 December 1978.

8-114 STANDARD DOWNGRADING/DECLASSIFICATION MARKINGS

1. Original Classification Not in Excess of 6 Years. When specific dates or events for declassification not in excess of 6 years are predetermined under the provisions of Chapter 5, the following marking shall be used:

Classified by _____ (See Note 1)

Declassify on _____ (See Note 2)

Abbreviation:

DECL _____ (See Note 3)

*See ADDENDUM, page 57.

2. Original Classification in Excess of 6 Years but Not in Excess of 20 Years. When specific dates or events for declassification or for declassification review in excess of 6 but not in excess of 20 years are predetermined under the provisions of Chapter 5, the following shall be used:

Classified by _____ (See Note 1)
Declassify on _____ (See Note 4.a.)
or
Review on* _____ (See Note 4.i.)
Extended by _____ (See Note 5)
Reason _____ (See Note 6.a.)

Abbreviations:

DECL _____ (See Note 3)
REVW* _____ (See Note 7)
REAS _____ (See Note 6.b.)

3. Derivative Classification. Derivatively classified documents shall be marked as follows:

Classified by _____ (See Note 8)
Declassify on _____ (See Note 9.a.)
or
Review on* _____ (See Note 9.b.)

Abbreviations:

DECL _____ (See Note 3)
REVW* _____ (See Note 7)

*See ADDENDUM, page 57.

4. Downgrading. If downgrading would be useful and can be predetermined, or if downgrading has been prescribed by all the source material used, appropriate downgrading dates shall be carried forward and the following marking shall be used:

Downgrade to _____ on _____ (See Note 10)

Abbreviation:

DG/ _____ / _____ (See Note 11)

5. Foreign Government Information. U.S. documents containing foreign government information shall be marked as follows:

Classified by _____ (See Note 12)

Review on* _____ (See Note 13)

Abbreviation:

REVW* _____ (See Note 7)

NOTES:

NOTE 1: Insert designation of original classification authority. This line may be omitted if the original classification authority is also the signer or approver of the document.

NOTE 2: Insert specific date or event certain to occur within 6 years.

NOTE 3: Insert day, month and year for declassification, e.g., "6 Jun 86."

NOTE 4: Insert either:

a. the specific date or event for declassification; or

b. the date for declassification review.*

*See ADDENDUM, page 57.

- NOTE 5: Insert position title of original Top Secret Classification authority. This line may be omitted if the authority is the signer or approver of the document, or that person's title appears on the "classified by" line.
- NOTE 6: Insert either:
- a. paragraph identification 5-107.3 and the letter a through h which identifies the applicable reason for the extended period of classification, e.g., "5-107.3c"; or
 - b. only the letter a through h that identifies the applicable reason, e.g., "c" or "c & e."
- NOTE 7: Insert day, month and year for declassification review, e.g., "6 Jun 91."*
- NOTE 8: Insert identity of security classification guide or other source document, including its date when necessary for positive identification. If more than one source is applicable, insert the words "multiple sources." Include identity of each source document with the official record copy of the new document.
- NOTE 9: Insert either:
- a. the specific date or event for declassification; or
 - b. the date for declassification review, as indicated by the source security classification guide or other source document as appropriate. When multiple sources are used, the latest of the declassification or review dates applicable to any of the source materials shall be applied to the new information.*
- NOTE 10: Insert Secret or Confidential and specific date or event, e.g., "Downgrade to CONFIDENTIAL on 6 June 1983."
- NOTE 11: Insert "S" or "C" and specific date or event, e.g., "DG/C/6 Jun 83."
- NOTE 12: Insert identity of the source foreign document, memorandum of understanding, or classification guide.

*See ADDENDUM, page 57.

NOTE 13: Insert day and month of the 30th year from the time the information was originated by the foreign government or classified by the United States pursuant to a joint arrangement with a foreign government, e.g., "Review on 6 June 2008."*

8-116 RESTRICTED DATA AND FORMERLY RESTRICTED DATA

The Restricted Data and Formerly Restricted Data markings are, in themselves, evidence of extended classification. Therefore, except for electrically transmitted messages, only a "classified by" line shall be added above the RD or FRD warning notice. (See paragraph 8-118.2)

8-118.2. Restricted Data and Formerly Restricted Data. For classified information containing Restricted Data or Formerly Restricted Data, as defined in the Atomic Energy Act of 1954 as amended, those markings prescribed by the Department of Energy are to be applied. Currently, they are:

a. RESTRICTED DATA

"This material contains Restricted Data as defined in the Atomic Energy Act of 1954. Unauthorized disclosure subject to administrative and criminal sanctions."

b. FORMERLY RESTRICTED DATA

"Unauthorized disclosure subject to administrative and criminal sanctions. Handle as Restricted Data in foreign dissemination. Section 144.b, Atomic Energy Act, 1954."

*See ADDENDUM, page 57.

ADDENDUM

BECAUSE OF A FORTHCOMING CHANGE TO THE SECURITY MANUAL, THE DECLASSIFICATION NOTATION "REVIEW ON (DATE)" IS NO LONGER USED.

THE NOTATION "ORIGINATING AGENCY'S DETERMINATION REQUIRED" OR THE ABBREVIATION "OADR" SHOULD BE USED WHENEVER THE NOTATION "REVIEW ON" IS CALLED FOR IN THE PRECEDING PAGES.

Procedures for Obtaining Approval of Security Classification
of Research Papers

1. Research papers/reports in draft form will be treated as Working Papers, and marked with the highest classification of any information contained in the document. When using a classified document, record the classifier and declassification data on initial use to avoid having to re-check sources. The center or academic department of origin will determine which papers/reports will be selected for retention in Naval War College files and/or be sent to commands/activities outside the Naval War College as formal documents.

2. The classification and downgrading/declassification of a formal paper/report must be approved. Original classification of SECRET, CONFIDENTIAL, and TOP SECRET must be approved by the President. Derivative classification of SECRET and CONFIDENTIAL must be approved by the Security Manager.

3. The researcher/student will forward the original copy of the formal paper/report, with all proper security markings, to the President/Security Manager. The exterior and title page should be marked with the downgrading and declassification for which approval is requested. The "Classified by" line should show "President, Naval War College" when original classification is involved. The identity of the security classification guide or other source document, or the words "multiple sources," should be shown in cases of derivative classification. The statement "Approved by Security Manager, Naval War College" should follow downgrading/declassification markings for derivative classification. Submission will be by memorandum to the President/Security Manager. (See pages 59-60 for a sample memorandum.)

4. After classification is approved, the endorsed memorandum will be retained by Head, Mail and File. The original paper/report will be transferred to library custody by the chairmen of the academic departments via Head, Mail and File Branch, in accordance with the provisions of NAVWARCOLINST 5510.3 series. Sufficient copies to provide for distribution and deposit in the Defense Technical Information Center will also be transferred to library custody. (See Chapter VI.)

Sample Memorandum

MEMORANDUM

From: (Rank, Name, College)
To: President/Security Manager, Naval War College
Subj: Request for approval of Classification of Curriculum Paper
Ref: (a) NAVWARCOLINST 5210.1 series
(b) OPNAVINST 5510.1 series
(c) NAVWARCOLINST 5510.3 series

1. In compliance with references (a), (b), and (c), it is requested that the classification of (TOP SECRET, SECRET, CONFIDENTIAL) (RESTRICTED DATA, NOFORN, NO CONTRACT, OTHER) be approved for my proposed formal paper entitled _____

written as a requirement for the _____ Department.

2. The classification is considered to be original/derivative. The references* used which support this classification are as follows:

a. (Title; originator; date; classification; classified by line; declassification date, review date, or "Originating Agency's Determination Required," (OADR); when applicable, reason for extended period of classification. Reasons for the classification recommended, other than classified references, must be fully substantiated.)

b.

c.

*The references given must match the footnotes in the paper and also appear in the bibliography.

3. The following downgrading and declassification instructions, as determined from Chapter 8 of reference (b), are recommended:*

(s)

*(Requests for classification for more than six years resulting from original classification must be forwarded via the President, to the Chief of Naval Operations for approval.)

FIRST ENDORSEMENT on _____ ltr
of _____

From: President/Security Manager, Naval War College

1. Approved/disapproved for the classification of _____.

2. The downgrading and declassification instructions recommended in paragraph 3 above shall be used.

(s)

Additional Information

1-205 Classification Guide

An instruction setting forth the classification, downgrading, and declassification guidance that is applied to subjects within a specific area of defense activity

Consult OPNAVINST 5513.1 series.

Conflict in Classification

Consult paragraph 5-109 in the Security Manual.

Intelligence

Consult paragraphs 8-118.4, 10-402 in the Security Manual.

Joint Chiefs of Staff Papers

Consult JCS Memorandum of policy 39, Release Procedures for JCS Papers.

NATO

Consult paragraphs 9-106.1, 9-106.5 in the Security Manual.

NOFORN

Consult OPNAVINST 5510.48 series and OPNAVINST S5510.155 series.

Restricted Data or Formerly Restricted Data

Consult paragraphs 1-225, 1-237 and 8-118.2 in the Security Manual.

also see:

SECNAVINST 5510.28 series

Technical Document

Any document that presents information, including scientific information, which relates to research, development, engineering, test, evaluation, production, operation, use, and maintenance of munitions and other military supplies and equipment.

Consult DOD Directive 5200.20 (NAVMATINST 5200.29) for applicable distribution statements.

CHAPTER V

SUBMISSION OF RESEARCH PAPER FOR PROCESSING AND

CRITERIA FOR REVIEW

Submission of Paper. Students should be careful to discuss their paper with the faculty research advisors at every stage of the research process. This will avoid last-minute revisions required by the advisor which may cause the paper to be submitted late. In no circumstances should the faculty research advisor be submitted a paper in the final form that has not previously been reviewed in draft form. The faculty research advisor's signature of approval on the title page certifies that the paper is substantively acceptable, and that the manuscript is free of typographical, spelling, and other grammatical errors. This certification is required prior to submission of the paper to the appropriate faculty member for evaluation.

Criteria for Review. Student papers reflect a great variety of problems and solutions. As a result, there can exist no specific nor rigid guidelines for their evaluation. Both author and reviewer alike should apply their criticism with reference to the basic elements of the research process described in this manual. Each should examine the problem solution as a logical derivative of objective analysis which, in turn, is substantiated by thorough research. Such logic should be communicated to the reader in the paper through an equally rational style of writing.

The following evaluation criteria are offered to assist the student in criticizing the rough draft. Instructions for faculty review of papers will stress consideration of these same criteria, as established by the respective Department Chairmen or Dean of Advanced Research.

1. Does the paper exhibit the author's basic understanding of the field of study?
2. Is the research problem (primary objective) stated clearly and accurately?
3. Does the paper present a clear solution (conclusion) to the problem as stated?

4. Is the solution derived from logically developed arguments and analysis?
5. Are the arguments and analysis substantiated by fact?
6. Do the arguments and analysis reflect the author's own thinking?
7. Have all relevant source materials been adequately explored and employed?
8. Have all reasonable solutions to the problem been thoroughly explored and objectively analyzed?
9. Does the author communicate in lucid prose?
10. Does the paper conform to the grammatical and stylistic format of the Naval War College Research Guide?

Distribution and Publication of Research Papers

Papers which are prepared for the Naval War College are considered to belong to the College. Policies for distribution and for commercial publication of student academic and research papers are outlined in NAVWARCOLINST 5210.1 series and in the references cited therein. Chapter VI outlines procedures for forwarding student papers, research reports, and prize essays selected by the academic departments, the Center for Advanced Research, and the Office of the Dean of Academics for deposit in the library and in the Defense Technical Information Center or the Fleet Tactical Library.

CHAPTER VI

DEPOSIT OF STUDENT AND ADVANCED RESEARCH PAPERS AND PRIZE ESSAYS

In accordance with the provisions of NAVWARCOLINST 5210.1 series, NAVWARCOLINST 3920.1 series, and NAVWARCOLINSTS governing awards and prizes; the academic departments, the Center for Advanced Research, and the Office of the Dean of Academics forward the original copies of selected research papers and prize essays to the library for archival purposes. Additional copies are forwarded for distribution to Department of Defense activities named by the dean/chairman of the respective center/department and for deposit in the Defense Technical Information Center.

Library and Defense Technical Information Center requirements for papers are outlined below:

1. Copies

Library--the original copy of an unpublished work.

Distribution by the library--sufficient copies to forward to the list of addressees.

Defense Technical Information Center deposit--both classified and unclassified papers, two (2) copies with completed DD Form 1473 including an unclassified abstract (not exceeding 200 words).

2. Title page--complete information as shown in the samples on pages 73 and 74.

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APPENDIX I

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by

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Rank and Service

A paper submitted to the Faculty of the Naval War College in partial satisfaction of the requirements of the Department of Management.

The contents of this paper reflect my own personal views and are not necessarily endorsed by the Naval War College or the Department of the Navy.

Signature: _____

24 June 1984

(Date of graduation at the Naval War College)

Paper directed by
William E. Turcotte, D.B.A.
Chairman, Department of Management
(Full name of Faculty Research Advisor and Academic Title)

Approved by:

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Faculty Research Advisor Date

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by

Name

Rank and Service

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The contents of this paper reflect my own personal views and are not necessarily endorsed by the Naval War College or the Department of the Navy.

Signature: _____

24 June 1984

(Date of graduation at the Naval War College)

Paper directed by
CAPT Jerome F. Watson
Chairman, Department of Naval Operations
(Full name of Faculty Research Advisor and Academic Title)

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Abstract of
PRESENT SOVIET POLICY IN LATIN AMERICA

An analysis of current Soviet policy in Latin America is pursued by comparing Soviet foreign policy doctrine and the reality of Latin American politics. General Soviet guidelines for social revolution in developing countries are surveyed to determine whether they are compatible with unique circumstances in Latin America. Soviet policy is found to be shifting away from indirect reliance on local Communist organizations and toward more direct Soviet involvement in order to maintain influence among revolutionary groups and in line with a new Soviet doctrine of noncapitalistic development. In this regard, the Soviet Union is augmenting its diplomatic, cultural, and commercial ties with Latin America. Tactically, within a framework of low risk and expense, this policy supports a united front of radical reformists and encourages radical nationalism. The ultimate goal is isolation of U.S. influence and communization of the countries of Latin America.

PREFACE

Approximately half the sources listed in the Bibliography were authored by Soviets and printed in the Soviet Union. Another quarter were written by Latin American Communists. The Latin American articles were also printed in the Soviet Union and are pro-Soviet. The remaining articles are by Western authors and generally deal with interpretation of Soviet policy. Almost all the articles were published in 1966 and 1967.

Many of the articles, especially those printed in International Affairs (Moscow), are authored by professors and institutional representatives. This is a literature of specialists and does represent some differences of opinion, although agreement on basics is far more singular than would be expected in Western literature. The reader should be aware that this literature may or may not represent the view of Soviet decision makers, and therefore should be used cautiously as a basis for determining policy. However, it is useful to recall that the State is, in effect, the only publisher in the Soviet Union and need not tolerate literature which is too far afield from official thinking.¹ In any event, the literature does furnish some notion of the intellectual atmosphere in which Soviet policy makers move. As such it is liberally and deliberately incorporated into this paper in order to give an aura as if from a Soviet viewpoint.

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PRESENT SOVIET POLICY IN LATIN AMERICA

CHAPTER I

INTRODUCTION

The Problem. Beginning in the early 1960's, Western observers began to note important changes in Soviet doctrine toward the achievement of communism in developing countries.¹ This new theory of noncapitalist development grew out of several years' experience with the newly emerging countries of Asia and Africa and the underdeveloped countries of Latin America. The new doctrine decreases the role of local Communist Parties and violent revolution, while retaining the ultimate goal and inevitability of communization. Prior to the early 1960's, Soviet theorists thought that developing countries would go through a multistage revolutionary process in which the Communist Party would play an ever increasing role in the leadership of the revolution, culminating in the final classic seizure of power by the Communists.

CHAPTER II

UNIQUE ASPECTS AFFECTING SOVIET POLICY IN LATIN AMERICA

U.S. Dominance.

U.S. imperialism is . . . the main, direct, external enemy of the peoples of all the Latin American countries. For many of them it is the main enemy. . . .¹

Enemy number one is U.S. imperialism. . . .²

These statements leave no doubt that U.S. dominance in Latin America is a rallying point for Communist attack. The attacks and frustrations are echoed in vociferous, verbal complaints regarding U.S. economic, political, and military influence.

Four facets of U.S. influence receive considerable space in Soviet writings on Latin America. They are the Alliance for Progress, the Peace Corps, the nonexistent Inter-American Armed Force, and U.S. "monopoly" investments. The first two may be all the more annoying because they seem to have been a United States response to the communization of Cuba and reinforce the veracity of President Johnson's 2 May 1965 statement that "the American nations cannot, must not and will not permit the establishment of another Communist government in the Western Hemisphere."³

Alliance for Progress is criticized as anti-Communist and a "counterrevolution" against real reform (as it suppr

the national-liberation movement). It is also criticized as being primarily beneficial to the ruling elite (it helps them stay in power), big land owners (they can sell their "waste lands" under land reform) and U.S. monopolies (it preserves their status quo).⁴ Two Communists, one Soviet and one Latin American, see the program as having had a dangerous success in delusion.

Early in 1967 the Soviet commented:

In the five years of Alliance for Progress, U.S. ruling circles succeeded in slightly strengthening the positions of the national bourgeois groups (non-revolutionary, middle class) inclined to look to the United States in some Latin American countries, and in sowing dangerous illusions among small sections of workers, employees and peasants concerning the sincerity of U.S. intentions.

The commentator from Latin America expanded on the problem of the "illusion" and its danger to communism:

We cannot "repeal" the facts. In their daily life people take guidance from what they see, from the concrete circumstances, and we have no earthly reason to assume that all the social projects of the pseudo-reformists will be stillborn. Some have been partly realized, which has had its effect on the public sentiment, especially in view of the extreme poverty of the bulk of the people. Some measures (building houses and schools, sanitation, land amelioration, etc.) financed by Alliance for Progress funds, alleviate the lot of the few but they sow illusions among many. And charities sponsored by such U.S. "aid" organizations as Care, Caritas, Food for Peace, and by some West-German agencies, add to these illusions.

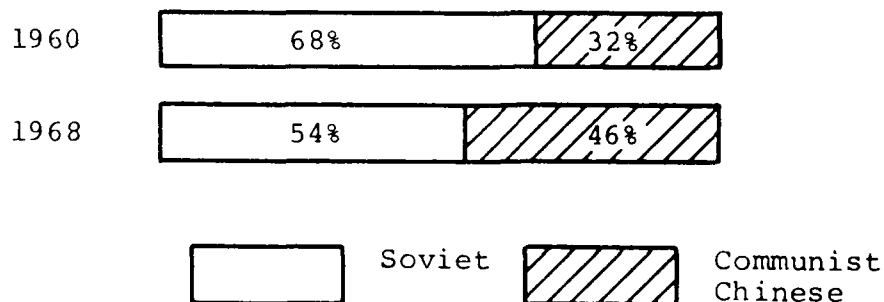
Illusions about the benevolence of a government, Church, charity organization or generous employer may become a peril of the first magnitude if they are nourished for decades by reforms and begin to act as an opiate.⁶

He then discusses the correct policy to use to counter the threat of reform. This policy is quoted in Appendix I. In short, these Communist writers see winning of the minds through peaceful reform as a real danger to the Communist movement.

The Peace Corps is seen as "a vanguard of U.S. imperialism whose task is to help disarm the national-liberation movement in Latin America ideologically." Its "main task . . . is to advertise the American way of life, sell U.S. domestic and foreign policy, present an attractive picture of capitalist development and fight communism."⁷ No Soviet writer in the Bibliography could see anything good or successful in it.

FIGURE 1

COMMUNIST ECONOMIC AID TO BOLIVIA, 1960 AND 1968



Source: Organization of American States, Statistics--1968, p. 237.

One of the favorite Communist topics is the Inter-American Armed Force, even though it does not exist (and in this writer's view is not likely to be implemented). Nonetheless, Communist writers see four dangers in its use. First, the establishment of a joint armed force presupposes a joint foreign policy and hemispheric cooperation.⁸ Second, it might be used "to unleash a 'holy war' against Cuba."⁹ Third, it could "crush the popular movements in Latin America . . . or any other country where a situation may arise imperilling U.S. imperialist interests."¹⁰ And fourth, "It has been estimated that this would allow" the United States "to put at least 20 million Latin Americans" under arms and create a "reserve for its military gambles outside the Western Hemisphere."¹¹

Some of the discussions leave the impression that the authors have written ominous propaganda about something nonexistent in order to receive credit for its not being put into effect. On the other hand, other writers are genuinely critical from their viewpoint of existing Inter-American military and police aid (about \$90 million in fiscal year 1967) as it forms a base for anticommunism and U.S.

influence.* They are therefore critical of any military program which might extend this influence.

In reviewing U.S. economic domination, Gvozdev and Leonidov consider U.S. investment amounts to \$15 billion (75 percent of all foreign investments in Latin America) and controls 25 percent of all industrial production and half of Latin America's exports. It is this extensive U.S. economic domination which combines with "military-political projects" such as Peace Corps and Alliance for Progress to form the "aggressive U.S. policy in Latin America."¹²

Another facet is the dominant presence of the United States coupled with an anti-Americanism inherent in Latin American nationalism, which creates problems for U.S. policy and exploitive possibilities for Soviet policy.

*Robert M. Sayre, Acting Assistant Secretary of State for Inter-American Affairs, reported, "Our overall military assistance in equipment and services to all of Latin America is limited . . . to \$85 million (in fiscal year 1967) with most of the program going for internal security and civic action activities. Our Public Safety program for assisting the police establishments of Latin America totals about \$5.3 million this fiscal year (1967)." U.S. Congress, House Committee on Foreign Affairs, Communist Activities in Latin America, 1967, Hearings (Washington: U.S. Govt. Print. Off., 1967), p. 81.

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1. Roque Dalton and Victor Miranda, "Present Phase of the Revolutionary Movement in Latin America," World Marxist Review, July 1967, p. 49.

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APPENDIX II

EXAMPLES OF
TABLES AND FIGURES

TABLE I

POPULATION PROJECTIONS
(billions)

POPULATION	YEAR	PERC	U.S.	U.S.S.R.	WORLD
TOTAL POPULATION	1965	687.8 ^a (2.1%)	194.4 (6%)	231.0 (7%)	3,280.5 ^b
	1980	834.8 ^a (19%)	246.9 (5.6%)	277.8 (6.4%)	4,330.0 ^b
RATE OF POPULATION INCREASE (DECENNIAL, PERCENT)	1960-1970	14.2	14.9	14.6	-
	1970-1980	13.6	16.1	13.1	-

aAverage projection for combination of mortality and fertility rates of change.

^bBased on a model of 1965-1980.

Source: United Nations, World Population Prospects, 1965, p. 147, 148, 149, 150, 151, 152, 153, 154, 155, 156, 157, 158, 159, 160, 161, 162, 163, 164, 165, 166, 167, 168, 169, 170, 171, 172, 173, 174, 175, 176, 177, 178, 179, 180, 181, 182, 183, 184, 185, 186, 187, 188, 189, 190, 191, 192, 193, 194, 195, 196, 197, 198, 199, 200, 201, 202, 203, 204, 205, 206, 207, 208, 209, 210, 211, 212, 213, 214, 215, 216, 217, 218, 219, 220, 221, 222, 223, 224, 225, 226, 227, 228, 229, 230, 231, 232, 233, 234, 235, 236, 237, 238, 239, 240, 241, 242, 243, 244, 245, 246, 247, 248, 249, 250, 251, 252, 253, 254, 255, 256, 257, 258, 259, 260, 261, 262, 263, 264, 265, 266, 267, 268, 269, 270, 271, 272, 273, 274, 275, 276, 277, 278, 279, 280, 281, 282, 283, 284, 285, 286, 287, 288, 289, 290, 291, 292, 293, 294, 295, 296, 297, 298, 299, 300, 301, 302, 303, 304, 305, 306, 307, 308, 309, 310, 311, 312, 313, 314, 315, 316, 317, 318, 319, 320, 321, 322, 323, 324, 325, 326, 327, 328, 329, 330, 331, 332, 333, 334, 335, 336, 337, 338, 339, 340, 341, 342, 343, 344, 345, 346, 347, 348, 349, 350, 351, 352, 353, 354, 355, 356, 357, 358, 359, 360, 361, 362, 363, 364, 365, 366, 367, 368, 369, 370, 371, 372, 373, 374, 375, 376, 377, 378, 379, 380, 381, 382, 383, 384, 385, 386, 387, 388, 389, 390, 391, 392, 393, 394, 395, 396, 397, 398, 399, 400, 401, 402, 403, 404, 405, 406, 407, 408, 409, 410, 411, 412, 413, 414, 415, 416, 417, 418, 419, 420, 421, 422, 423, 424, 425, 426, 427, 428, 429, 430, 431, 432, 433, 434, 435, 436, 437, 438, 439, 440, 441, 442, 443, 444, 445, 446, 447, 448, 449, 450, 451, 452, 453, 454, 455, 456, 457, 458, 459, 460, 461, 462, 463, 464, 465, 466, 467, 468, 469, 470, 471, 472, 473, 474, 475, 476, 477, 478, 479, 480, 481, 482, 483, 484, 485, 486, 487, 488, 489, 490, 491, 492, 493, 494, 495, 496, 497, 498, 499, 500, 501, 502, 503, 504, 505, 506, 507, 508, 509, 510, 511, 512, 513, 514, 515, 516, 517, 518, 519, 520, 521, 522, 523, 524, 525, 526, 527, 528, 529, 530, 531, 532, 533, 534, 535, 536, 537, 538, 539, 540, 541, 542, 543, 544, 545, 546, 547, 548, 549, 550, 551, 552, 553, 554, 555, 556, 557, 558, 559, 560, 561, 562, 563, 564, 565, 566, 567, 568, 569, 570, 571, 572, 573, 574, 575, 576, 577, 578, 579, 580, 581, 582, 583, 584, 585, 586, 587, 588, 589, 590, 591, 592, 593, 594, 595, 596, 597, 598, 599, 600, 601, 602, 603, 604, 605, 606, 607, 608, 609, 610, 611, 612, 613, 614, 615, 616, 617, 618, 619, 620, 621, 622, 623, 624, 625, 626, 627, 628, 629, 630, 631, 632, 633, 634, 635, 636, 637, 638, 639, 640, 641, 642, 643, 644, 645, 646, 647, 648, 649, 650, 651, 652, 653, 654, 655, 656, 657, 658, 659, 660, 661, 662, 663, 664, 665, 666, 667, 668, 669, 670, 671, 672, 673, 674, 675, 676, 677, 678, 679, 680, 681, 682, 683, 684, 685, 686, 687, 688, 689, 690, 691, 692, 693, 694, 695, 696, 697, 698, 699, 700, 701, 702, 703, 704, 705, 706, 707, 708, 709, 710, 711, 712, 713, 714, 715, 716, 717, 718, 719, 720, 721, 722, 723, 724, 725, 726, 727, 728, 729, 730, 731, 732, 733, 734, 735, 736, 737, 738, 739, 740, 741, 742, 743, 744, 745, 746, 747, 748, 749, 750, 751, 752, 753, 754, 755, 756, 757, 758, 759, 760, 761, 762, 763, 764, 765, 766, 767, 768, 769, 770, 771, 772, 773, 774, 775, 776, 777, 778, 779, 780, 781, 782, 783, 784, 785, 786, 787, 788, 789, 790, 791, 792, 793, 794, 795, 796, 797, 798, 799, 800, 801, 802, 803, 804, 805, 806, 807, 808, 809, 810, 811, 812, 813, 814, 815, 816, 817, 818, 819, 820, 821, 822, 823, 824, 825, 826, 827, 828, 829, 830, 831, 832, 833, 834, 835, 836, 837, 838, 839, 840, 841, 842, 843, 844, 845, 846, 847, 848, 849, 850, 851, 852, 853, 854, 855, 856, 857, 858, 859, 860, 861, 862, 863, 864, 865, 866, 867, 868, 869, 870, 871, 872, 873, 874, 875, 876, 877, 878, 879, 880, 881, 882, 883, 884, 885, 886, 887, 888, 889, 890, 891, 892, 893, 894, 895, 896, 897, 898, 899, 900, 901, 902, 903, 904, 905, 906, 907, 908, 909, 910, 911, 912, 913, 914, 915, 916, 917, 918, 919, 920, 921, 922, 923, 924, 925, 926, 927, 928, 929, 930, 931, 932, 933, 934, 935, 936, 937, 938, 939, 940, 941, 942, 943, 944, 945, 946, 947, 948, 949, 950, 951, 952, 953, 954, 955, 956, 957, 958, 959, 960, 961, 962, 963, 964, 965, 966, 967, 968, 969, 970, 971, 972, 973, 974, 975, 976, 977, 978, 979, 980, 981, 982, 983, 984, 985, 986, 987, 988, 989, 990, 991, 992, 993, 994, 995, 996, 997, 998, 999, 1000.

TABLE II

MILITARY STRENGTH

	PRC	U.S.	U.S.S.R.
MILITARY PERSONNEL (thousands)			
Regular			
Navy	136	750	465
Army	2,500	1,470	2,000
Air Force	100	900	505
Marines/others		280	750
Total	2,700	3,400	3,220 ^a
% of population (Table I, 1965)	0.2	0.6	0.7
Irregular	300	-	250
STRATEGIC STRENGTHS (estimates for early 1968)			
Missile and Air Power			
Land-based ICBMs	-	1,054	520
Fleet ballistic missiles	-	656	130
IRBMs and MRBMs	-	-	725
Long-range heavy bombers	-	520	150
Medium bombers	12	75	1,100
Seapower (active fleets or ships in commission)			
Carriers (all types)	-	28	-
Cruisers	-	14	20
Ocean-going escorts	20	330	198
Ballistic missile submarines	1	37	45
Attack Submarines	30	103	335
ATOMIC WEAPONS			
Number	30 (?)	30,000 plus ^b	15,000 plus ^b
Megatonnage	60 (max.)	25,000 ^b	12,000 ^b

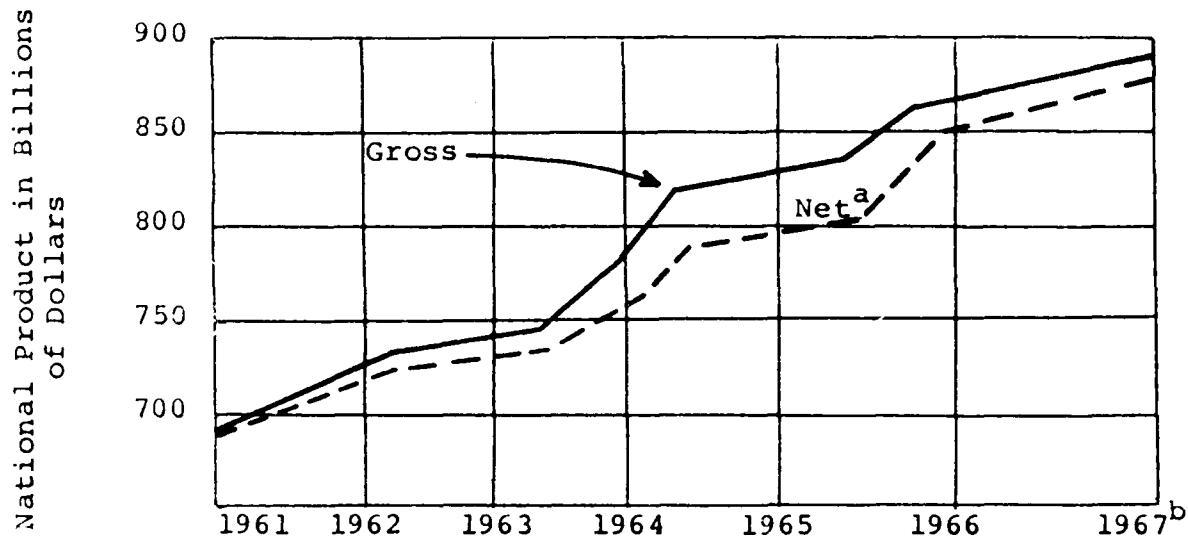
^aThe sum of the service strengths is 3,720 but the source indicates a total strength of 3,220.

^b"Life with the Atom--after 25 Years," U.S. News & World Report, 11 December 1967, p. 65.

Source: Institute for Strategic Studies, The Military Balance 1967-1968 (London: 1967), v.2.

FIGURE 1

GROWTH IN UNITED STATES NATIONAL
PRODUCT, 1961-1967



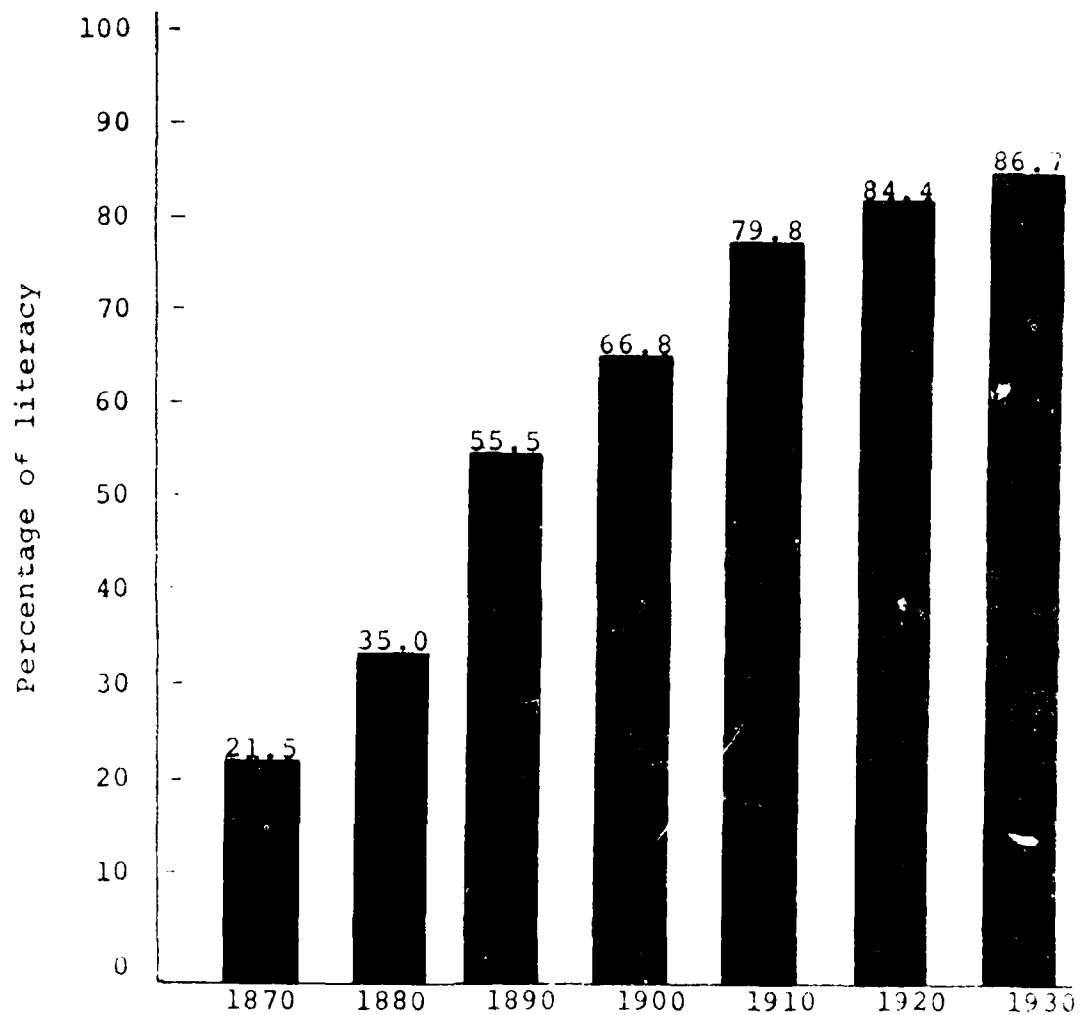
^aExcludes amortization and depreciation of fixed debt.

^bEstimated.

Source: U.S. Dept. of Commerce, Bureau of Labor Statistics, Statistics (Washington: U.S. Govt. Print. Off., 1968), p. 891.

FIGURE 2

PERCENTAGE OF LITERACY AMONG NEW MEXICAN POPULATION TEN YEARS
OF AGE AND OVER, 1870-1930



Source: U.S. Dept. of Commerce, Bureau of Census,
Statistics (Washington: U.S. Govt. Print. Off., 1931),
p. 231.

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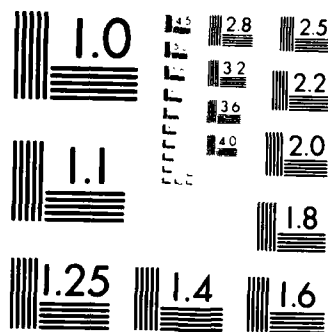
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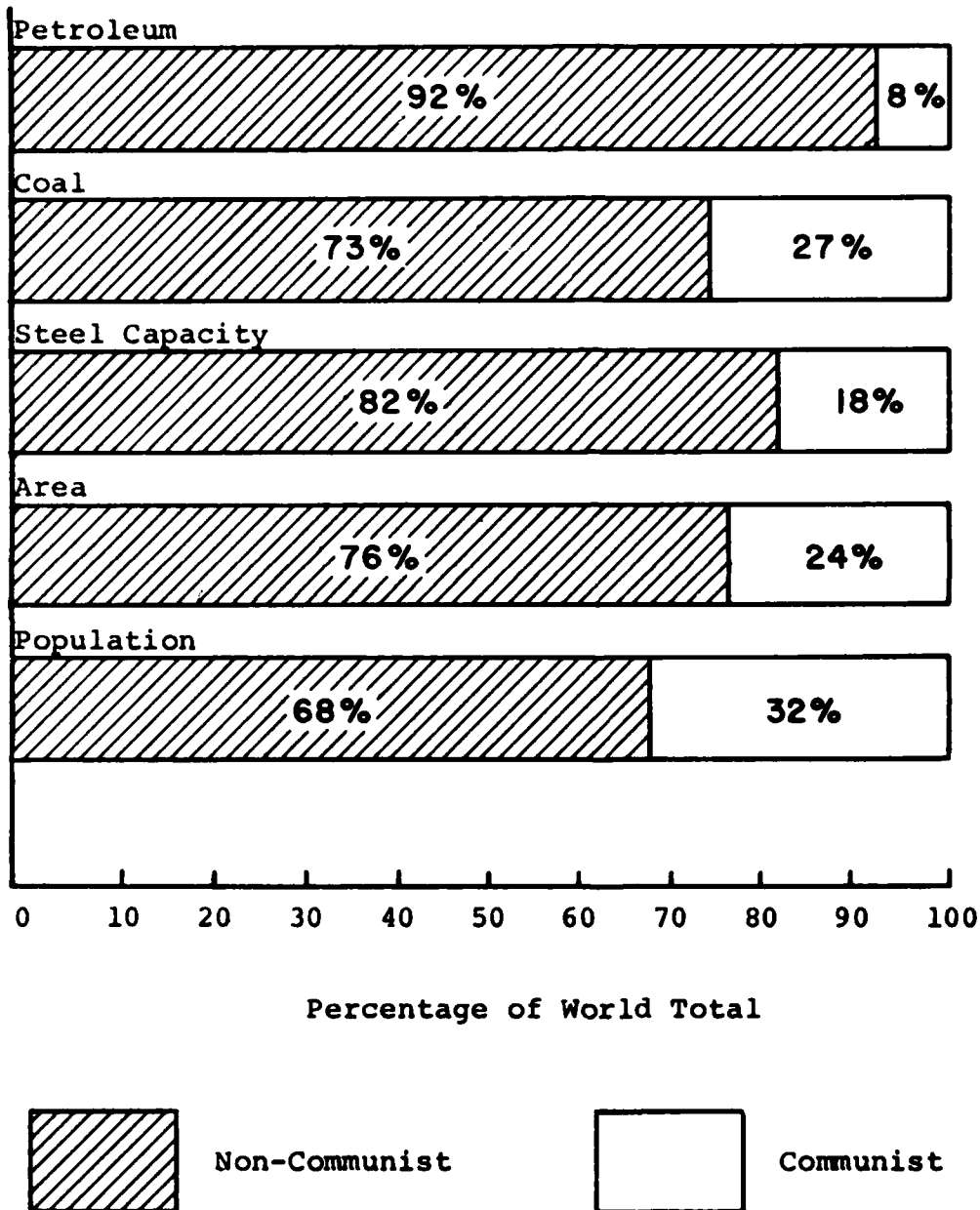
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MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS 1963-A

FIGURE 3

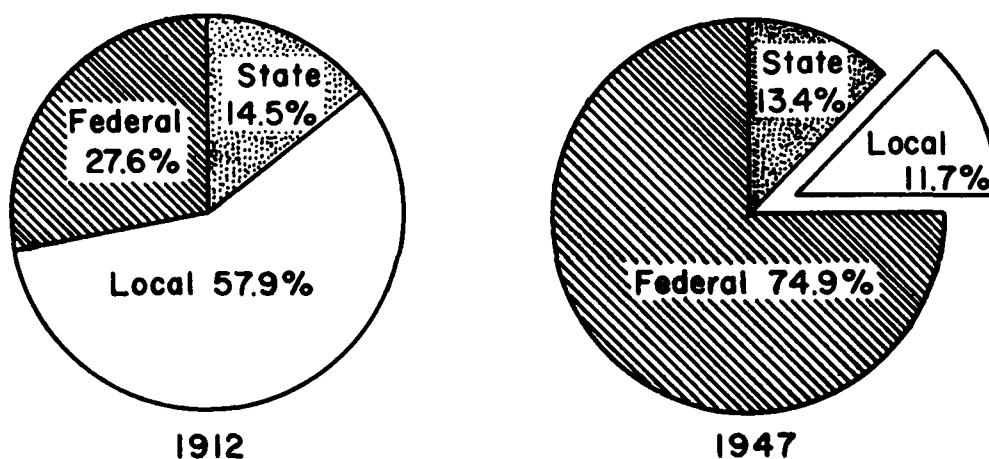
SELECTIVE COMPARISON OF NON-COMMUNIST AND COMMUNIST INDUSTRIAL
CAPACITY AND POPULATION, 1950



Source: U.S. Dept. of Commerce, Statistics (Washington: U.S. Govt. Print. Off., 1951), p. 32.

FIGURE 4

DISTRIBUTION OF THE AMERICAN TAX DOLLAR AMONG LOCAL, STATE,
AND FEDERAL GOVERNMENT, 1912 AND 1947



Source: U.S. Dept. of Commerce, Statistics (Washington: U.S. Govt. Print. Off., 1947), p. 97.

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